

(Rev. 7/17/2012)

Streamlined Request for Qualifications

(Electronic Submittal Required)

Preconstruction Engineering Services

for

Project No. F-R499(188)
I-15; MP 20 to 24 Improvements

November 15, 2012

UTAH DEPARTMENT OF TRANSPORTATION
Streamlined Request for Qualifications
Project No. F-R499(188) / I-15; MP 20 to MP 24

SUMMARY SHEET

Please direct all questions regarding Utah Department of Transportation's (UDOT) Streamlined Request for Qualifications (RFQ) and the selection process to the Contract Administrator and all questions concerning the project to the Project Manager contact.

1. Project Number: F-R499(188)
2. Location: I-15; MP 20 to MP 24 Improvements
3. ePM PIN No.: 11057
4. Requested Services: Preconstruction Engineering Services
5. Source(s) of Funding: Federal Funds
6. UDOT Project Administrator:

Mr. Devon Tonks
Contract Administrator
Utah Department of Transportation
Consultant Services
Box 148490
4501 South 2700 West
Salt Lake City, Utah 84129-5998
801/965-4184
dtonks@utah.gov

7. UDOT Project Management:

Kim Manwill
Project Manager
Utah Department of Transportation
Region 4
210 West 800 South
Richfield, UT 84404
435/896-0733
kmanwill@utah.gov

8. Streamlined Statement of Qualifications (Streamlined SOQ) Due Date: **Thursday, November 29, 2012.**

Submit one electronic PDF file of the Streamlined SOQ (unless directed otherwise in Appendix A) to Devon Tonks by email at dtonks@utah.gov prior to 11:00 AM on Thursday, November 29, 2012. You will receive an email acknowledgment of receipt.

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Streamlined SOQ's will not be accepted after the 11:00 AM deadline

9. **Cost Discussion:** This is a Qualifications Based Selection (QBS) process based on the Brooks Act (40 U.S.C. 11). Cost is **NOT** a factor in the selection ranking of a consultant to provide services. "As specified in 23 CFR 172.5(a)(1) all price/cost related items which include, but are not limited to direct salaries / wage rates, indirect cost rates, and other direct costs are prohibited from being used..." These discussions are prohibited and may not be considered in the evaluation of SOQs as part of this Selection Process.

DO NOT include any reference to costs in the Streamlined SOQ. Any Streamlined SOQ submitted with ANY discussion of cost (other than cost control measures) **WILL BE DISQUALIFIED.**

10. **Type of Streamlined SOQ Required:** In accordance with "Utah Department of Transportation Guidelines for Preparing Streamlined Statement of Qualifications".

The Streamlined SOQ has a maximum page-limit of **FOUR** pages. If there are any changes affecting the Streamlined RFQ, notice will be sent out via an e-mail through the Consultant Services update service.

11. **Optional Oral Interviews Date:** Most Streamlined RFQ selections will be based on the Streamlined SOQ scores. However, if the Selection Team determines it is necessary to have interviews in order to make a selection, interviews will be held on **Friday, December 14, 2012.**

12. **Notice to Proceed Date:** To be issued by Consultant Services after contract execution.

13. **Project Completion Date:** Approximately **6** months from Notice to Proceed.

14. **Remarks:** The sample charts, *Project Organization Chart* and *Related Experience Chart* are available on the UDOT Web site www.udot.utah.gov/go/csforms.

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Consultant Selection Schedule

Date	Day	Action
11/15/12	Thursday	Posting of Streamlined RFQ on UDOT Consultant Services Project Advertisement website
11/29/12	Thursday	Streamlined SOQ's are due electronically by 11:00 AM .
12/6/12	Wednesday	UDOT Selection Team Meeting
12/14/12	Friday	UDOT Consultant Selection Interviews
12/14/12	Friday	Consultant Selection
12/17/12	Monday	Mandatory Pre-Negotiation Meeting with Selected Consultant

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Project Dates:

Consultants are required to meet the dates set for the **optional** oral interviews and negotiation meetings. Consultants are also advised to meet the information submittal dates outlined in the summary sheet. Failure to meet these dates will be considered non-responsive.

Required Percentage of Work for Prime Consultant:

The Consultant must perform work valued at not less than **60%** of the total work, excluding specialized services, with its own staff. Specialized services are those services or items that are not usually furnished by a consultant performing the particular type of service contained in this Streamlined RFQ.

Required Completion and Acceptance Criteria:

Progress payments will be made for work in progress. Final invoice payment, shall be made after all of the work has been completed and the final estimate, project records, and documentation have been received and accepted by the Utah Department of Transportation as accurate and complete.

Applicable Federal and State Regulations:

The Consultant shall conform to all applicable state and federal regulations.

Debarment Certification:

Federal regulations require certification by prospective participants (including contractors, subcontractors, and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

Authorization to Begin Work:

Notice to proceed will be given by Consultant Services as soon as the contract is approved and signed by all parties and returned to Consultant Services.

Required Key Personnel Qualification:

The Consultant shall be responsible to ensure all personnel proposed under this Streamlined RFQ be qualified through training, experience, and appropriate certification for the tasks assigned and shall have a working knowledge of Department standard practices.

The Consultant is expected to complete the form, *Proposed Key Personnel to Be Used on UDOT Project* (attached as **Appendix B** to this Streamlined RFQ). The Appendix B should state the certification and education levels of the individuals proposed for use on this contract including sub-consultants' personnel. **The completed form must be included in the Streamlined SOQ but will not count as one of the allowed pages.**

UDOT's requirement for listing current or former UDOT employees as key personnel in Streamlined SOQ's is as follows:

- If a firm lists a former UDOT employee on the Streamlined SOQ who officially left UDOT employment prior to the date of submittal of the Streamlined SOQ, the firm

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will not be disqualified. If the firm lists someone who has not yet left UDOT employment, even if the employee plans to retire or quit soon, the firm will be disqualified.

- In addition, if a firm lists a UDOT employee who was involved in the development of the RFQ for this project, whether they are a current employee of UDOT or not, the firm will be disqualified.
- These requirements apply to prime and sub-consultants.

Required Availability of Key Personnel:

When Consultants list personnel on Appendix B *Proposed Key Personnel to Be Used on UDOT Project* Form, the Consultant is agreeing to make the personnel available to complete work on the contract at whatever level the project requires.

Required Streamlined SOQ Contents:

The Streamlined SOQ from the Consultant should contain the information identified in the attached *Utah Department of Transportation Guidelines for Preparing Streamlined Statement of Qualifications*.

Streamlined SOQ Evaluation Procedures:

The Streamlined SOQ shall be evaluated by a Department Selection Team in accordance with the criteria described in the Utah Department of Transportation *Guidelines for Preparing Streamlined Statement of Qualifications*.

Conditions of Proposal:

All costs related to the preparation of the Streamlined SOQ and any related activities such as interviews are the sole responsibility of the Consultant. The Department assumes no liability for any costs incurred by Consultants throughout the entire selection process.

Disposition of Streamlined SOQ's:

Streamlined SOQ's and their content become the property of UDOT, are treated as protected documents, and are disposed of according to Department policies, including the right to reject all Streamlined SOQ's. The Streamlined SOQ of the successful Consultant shall be open to public inspection for a period of one year after award of the contract. Streamlined SOQ's of Consultants who are not awarded contracts shall not be open to public inspection and will be destroyed once the contract is executed with another consultant.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the Consultant Services Manager shall examine the request in the Streamlined SOQ to determine its validity prior to award of the contract. If the parties do not agree as to the disclosure of data in the contract, the Consultant Services Manager shall inform the Consultant in writing what portion of the Streamlined SOQ will be disclosed and that, unless the Consultant withdraws the Streamlined SOQ, it will be disclosed. If the Consultant withdraws their Streamlined SOQ, the Consultant will not be awarded the contract.

Ownership of Documents:

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All tracings, plans, manuscripts, specifications, data, maps, etc. prepared or obtained by the Consultant as a result of working on this contract, shall be delivered to and become the property of the Department.

Financial Screening:

The Department requires that Consultants be Financially Screened prior to performing work for UDOT. **If a Consultant is selected and has not been financially screened and approved within two weeks after selection, the Consultant will be disqualified unless the delay is due to problems or delays by UDOT.**

The time it takes a Consultant to complete the Financial Screening process varies and therefore the Department encourages Consultants to submit their *Financial Screening Application* as soon as possible.

Consultants may obtain the *Financial Screening Application* from the UDOT Web site www.udot.utah.gov/go/csforms. For questions, contact the Consultant Services Financial Screener at 801/965-4138. A Consultant's Financial Screening status is effective for the period of one year from the time the Consultant is approved.

Pre-award Audit:

In the event that a proposing consultant has failed to pay UDOT monies due to the Department for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's Streamlined SOQ. Disqualification will be based on the audit findings, determinations, and recommendations made by the Department's authorized agent.

Insurance Certificates:

The Consultant is required to provide UDOT with Certificates of Insurance meeting the current guidelines. Current insurance requirements can be found at www.udot.utah.gov/go/csmanuals.

Health Reform – Health Insurance Coverage in State Contracts Requirements:

As required by UCA 72-6-107.5, effective July 1, 2009, UDOT will not enter into a contract of \$1,500,000 or more with a prime consultant or \$750,000 or more with a sub-consultant without demonstration of compliance regarding the offering of "Qualified Health Insurance Coverage" to their employees. Prior to issuing a Notice to Proceed, the Consultant must demonstrate compliance with the provisions of Administrative Rule R-916-5. A Consultant's inability to adequately demonstrate compliance may be grounds for determining a Streamlined SOQ non-responsive and UDOT moving on to negotiate with the new first-ranked responsive firm.

Subscription to the UDOT Consultant Services Update Service:

The Department recommends Consultants interested in proposing a Streamlined SOQ subscribe to the UDOT Consultant Services Update Service on the UDOT Web site www.udot.utah.gov/go/subscriptionlist.

If there are any changes affecting the Streamlined RFQ, notice will be sent out via an e-mail through the update service.

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Consultant and/or Corporate Logos or Branding:

Consultant and/or corporate logos or branding identification may no longer be displayed in **public** documents or products produced for UDOT beginning July 1, 2005. It is UDOT's intent that consultants should place identifying information, in text format, in appropriate places in documents. This requirement does not apply to Streamlined SOQ's. For specific questions or further guidance, please contact Gaye Hettrick, Consultant Services Manager, 801/965-4639 or ghettrick@utah.gov.

Consultants and/or corporations are specifically restricted from placing logos or branding on the following items:

- Plan Sheets or Title Blocks
- Environmental Documents
- Standard UDOT Forms
- Project Websites
- Cover Pages
- Headers/Footers; and
- Information and Display Boards for Public Meetings

Conflict of Interest

UDOT has determined there is an appearance of a Conflict of Interest when a Consultant performs both design and construction engineering management on the same project. Therefore, Consultants will not be eligible to participate as part of the Construction Engineering Management Team for this project if they performed design services. Refer to the "Design and CEM by Same Consultant" notice placed on the website at www.udot.utah.gov/go/csforms.

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Appendix A

Guidelines for Preparing Streamlined Statement of Qualifications

INTRODUCTION:

These guidelines were developed to standardize the preparation of a Streamlined SOQ by Consultants for engineering services on a project. Submitting a Streamlined SOQ is the beginning of the selection process and is used as the basis for selecting or for short-listing Consultants. If the Department determines interviews are necessary prior to selection, a minimum of at least two Consultants will be short-listed and invited to an interview by the Department.

The purpose for these guidelines is to assure consistency in format and content in the Streamlined SOQ prepared by Consultants and submitted to the Department. Preparing a Streamlined SOQ instead of a detailed proposal reduces the time requirements for the Consultants and simplifies the review process for Department personnel.

ELECTRONIC SUBMITTAL:

The Department's goal is to migrate to electronic processes wherever possible. Consultant Services intends to require all Streamlined SOQ's to be submitted solely by electronic means.

STREAMLINED SOQ SECTIONS:

The Streamlined SOQ should contain the following sections in the order listed:

1. Introductory Letter
2. Project Team
3. Capability of the Consultant
4. Approach to the Project
5. Appendix B

STREAMLINED SOQ EVALUATION CRITERIA:

The Streamlined SOQ evaluation criteria are listed below in red.

1. **Introductory Letter** – The introductory letter should be addressed to:

Mr. Devon Tonks
Contract Administrator
UDOT Consultant Services
4501 South 2700 West
Salt Lake City, UT 84129-5998

In **one page**, express your interest in the project, state qualifications to do the work, and recount any summary information on the project team or yourself that may be useful or informative to the Department.

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Include the mailing and e-mail addresses and the phone number of the primary contact person for this consultant selection process in the introductory letter.

No evaluation points are assigned to this section and the introductory letter will not count as one of the allowed pages.

2. **Project Team** – The Selection Team will evaluate how well the qualifications and experience of the members of the project team relate to the specific project. The Department recommends the following information be provided.
- Project team flow charts including sub-consultants (see sample *Project Organization Chart* available on the UDOT Web site www.udot.utah.gov/go/csforms under *Project Organization Chart and Related Experience Charts*.)
 - Describe the qualifications, experience, and availability of key personnel on your project team. (NOTE: Do not include percentages of availability as this may be misinterpreted.)
 - Provide a spreadsheet list of projects you have **completed** during the last five years. The spreadsheet column headings should include the following items. (See sample *Project Organization and Related Experience Chart* available on the UDOT web site www.udot.utah.gov/go/csforms. Note: Columns may be combined in order to meet the font size and margin requirements below.)
 - Name of Project Manager
 - Year
 - Type of Project
 - Project Name
 - Project Location
 - Project Description
 - Construction Estimate Cost - \$Million
 - Services Performed / Project Role
 - Client
 - Reference Contact and Telephone Number

A maximum of 35 points is available for this section.

3. **Capability of the Consultant** – The Selection Team will evaluate the Consultant's capability to perform the work.
- Describe your firm's capability to perform the work.
 - Describe any unique qualifications your firm has to perform this type of work.
 - Describe your firm's internal quality and cost control procedures.
 - Describe your firm's experience with the specific type of work identified in Appendix C.

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- Discuss the logistics relating to how the project team will provide the services requested.
- Provide an analysis of the project team firms' current workload

A maximum of 20 points is available for this section.

4. **Approach to the Project** – The Selection Team will evaluate how well you have planned a basic course of action, what alternatives and/or preliminary approaches are proposed, and what provisions are identified for dealing with potential impacts.
- Briefly describe the course of action proposed to meet the objectives of the project.
 - Identify key project milestones and briefly describe your team's approach to the project schedule.
 - Identify potential risks, impacts, impediments, conflicts and potential mitigation.

A maximum of 45 points is available for this section.

5. **Appendix B** - The Consultant is expected to complete the form *Proposed Key Personnel to be used on UDOT Project* (attached to this RFQ is an example **Appendix B**). Firms are not required to use this example form, as long as all necessary information is included in a form presented in the SOQ. The Appendix B must state the certification and education levels of the individuals proposed for use on this contract, including sub-consultants' personnel.

When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* form, the Consultant is agreeing to make the personnel available to complete the work on the contract at whatever level the project requires.

The completed form must be included in the SOQ, but will not count as one of the allowed pages. No other information is allowed on these pages.

No evaluation points are assigned to this section.

STREAMLINED SOQ FORMAT REQUIREMENTS:

It is very important that submittals be clear, concise, and in the recommended format so they may be evaluated in an objective manner by the Department's Selection Team.

1. **Color is Allowed**
2. **8½ x 11 Size Paper Only** – (Refer to No. 10 of Streamlined SOQ Format Requirements for further details.)
3. **One (1") Margins** – (Exceptions: Consultant Name/Logo and Page Headers/Footers may be within margin.)
4. **10 Pt Font and 12 Pt Line Spacing, Minimums** – (The minimum font size is 10 point font or greater everywhere in the Streamlined SOQ including graphics, unless the graphics are a duplication from another source and the source is referenced. The minimum line spacing is 12 point.)

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5. **Charts, Graphs, and Pictures** – (Optional and counted as page(s))
6. **Page Headers/Footers** – (May be within 1" margins; must include Project Number, Project Location/Description, and Current Date.)
7. **No Additional Front or Back Page Allowed** – (Introductory Letter Is Top Page).
8. **Appendix B is required** – (Appendix B will not count towards the page maximum.)

A maximum total of 100 points is available for the Streamlined SOQ.

A one-point penalty may be assessed by Consultant Services for each applicable violation of the above (#1 through #8) format requirements for a maximum 8-point penalty per Streamlined SOQ.

9. **Electronic PDF Submittal** – Submit one PDF file (containing all of the SOQ requirements in the order presented in this Appendix) of the Streamlined SOQ to Devon Tonks at dtonks@utah.gov.
10. **Four (4) Page Maximum** (Introductory Letter and Appendix B do not count towards the page maximum.)

A page is defined as a single-sided 8.5" x 11" sized sheet that contains text, pictures, tables, graphs, charts, plan sheets, or any other graphics.

The Introductory Letter and Appendix B will not count towards the page maximum.

Any Streamlined SOQ that is not submitted electronically or exceeds the four-page maximum will be disqualified by Consultant Services and will not be reviewed by the Department Selection Team.

UDOT SELECTION TEAM:

The Selection Team members will receive copies of each qualified Streamlined SOQ submitted. They will review and score the Streamlined SOQ's individually based on the evaluation criteria and submit their scores and comments to the Project Administrator. The Administrator will tally and compile the scores and comments. The Selection Team may then meet to discuss the scores and comments and determine whether interviews are necessary or whether the selection may be made based on the scores from the Streamlined SOQ's.

Most Streamlined RFQ selections will be based on the Streamlined SOQ scores. However, if the Selection Team determines it is necessary to have interviews in order to make a selection, the members will develop the format of the interviews in the Selection Team Meeting by completing the *Interview Format Worksheet*.

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SELECTION INTERVIEWS:

The Streamlined RFQ is intended to reduce the level of effort required to compete for and administrate the selection process. Interviews are anticipated to take place rarely (i.e. in the event the first place ranking is a tied score of two or more firms).

If the Department Selection Team determines interviews are necessary, the following project-specific topics may be some of the issues discussed.

- Understanding of the Work
- Approach to the Project
- Schedule Control
- Management of Project

“SELECTING BY CONSENT” PROCESS:

The final selection process will be performed using the “Selecting by Consent” (SBC) process developed by the Consultant Selection Interview Process Quality Improvement Team officially implemented August 12, 2004.

The SBC process is a scoring process that aids the Selection Team in developing the final ranking of consultants through a collaborative process. In this process each segment and question of the interview is weighted in advance during the Selection Team Meeting. After the interviews are conducted, the Selection Team scores each segment and question by consent. Consent is defined as the willingness of all Selection Team members to accept a decision reached by a collaborative process. The final selection ranking of consultants is based on the final scores developed by the Selection Team using the *Interview Scores* spreadsheet.

For more information regarding this process and copies of the *Interview Format Worksheet* and *Interview Scores* forms, see the UDOT Web site www.udot.utah.gov/go/csforms.

SUMMARY:

The Streamlined SOQ should be clear, concise, and it should provide the Department's Selection Team Members with an understanding of the Consultant's and Sub-consultants' ability to undertake and complete the proposed project in a thorough and timely manner.

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Appendix B

Proposed Key Personnel to Be Used On UDOT Project

Name	Firm Name	Title (Within firm and/or proposed on project)	Certification Category/Level	Utah License/ Certification No.	Other State License/ Certification No.	Education Level

- Include all key personnel who are proposed to work on UDOT project including sub-consultants. Add additional pages if needed.
- If a Consultant has a change in key personnel during a project, they are required to submit the proposed change in writing within 10 working days to the UDOT Project Manager (and Local Government, if applicable) for approval. If the Project Manager (PM) approves, the PM will forward the change and their approval to UDOT Consultant Services and the Comptroller's Office within 10 working days. If the PM does not approve, they may request a revision of the proposal, score the Consultant lower on the Consultant Project Evaluation, or terminate the contract.
- The Form and an example of the completed form along with further descriptions of the column headings are available on the UDOT Website www.udot.utah.gov/go/csforms.

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Appendix C

SCOPE OF WORK

Overview: UDOT Region Four intends to construct a truck climbing lane, curve flattening, accel/decel lane improvements, and northbound-south Leeds off-ramp re-alignment area of MP 20 to 24, including all drainage, Structures, safety improvements and work necessary to complete the project. UDOT's intent is to provide this improvement, while minimizing impact to residents, businesses, traveling public, utilities etc, through the efforts of a good Public Involvement plan, communication, MOT plan, as well as, a quality set of plans, specifications, and Estimate.

The Consultant will provide the following services and deliverables:

- Project management support and design lead
- Participate in Risk identification and management
- Roadway design
- Participate in Risk identification and management
- Hydraulics and irrigation design
- Structural design
- Traffic & Safety design
- Sub-surface utility investigations
- Survey
- Geotechnical services
- Landscaping/Aesthetic design
- Utility coordination and design
- Right-of-way design
- Analyze Environmental Resources
- Prepare and Submit Permits
- Obtain Environmental Permits

Design support will require use of Microstation and InRoads (select series 2) or newer and development of plan sheets, quantities, estimates, specifications, and supporting full-plans advertising package documents.

Proposers can assume the following:

- The project will be completed with the UDOT 2011 Project Delivery Network.

The successful consultant team is expected to fulfill the following:

- Consist of individuals with experience in delivering similar types of projects.
- Provide a project manager with UDOT project delivery experience and experience managing Bridge Design.

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- Be expected to problem-solve and be innovative in approach and design to deliver the full project scope within budget and on schedule.
- Have key personnel coordinate weekly project meetings to discuss project needs and issues, and report on progress and schedule.
- Coordinate with Region Environmental on completion of the environmental document.
- Follow-up on environmental document commitments.
- Develop concepts and designs for culvert extension.
- Provide staff familiar with UDOT's right-of-way processes and experience performing right-of-way engineering duties.
- Develop the final design and produce the plans, specifications, estimate, permits, and supporting advertisement documents for the project including PDC, Design Exception, Design Waiver and Deviations from Standards Form.
- Update activities bi-weekly in Microsoft Project in Microsoft Project.
- Submit a QC/QA summary every month and QC/QA documentation prior to milestone reviews
- Supply all items needed to complete the design and submit the project for advertisement no later than May 1, 2013.
- Coordinate work with the public involvement consultant.
- Provide design support through construction.
- Construction to be completed in 2013.

The design must also meet the current UDOT design standards. The plans will be prepared in MicroStation v8i . All work will be housed on UDOT's ProjectWise. The advertising package must be compliant with and follow UDOT's advertising process. This includes supplying plans in electronic format compatible with the UDOT's Electronic Plan Room. These requirements apply to the prime and subcontractors.

It is the Consultant's responsibility to review the UDOT Design Process Manual and other related documents understanding all that is required for each activity. The manual is located on the UDOT website at: www.udot.utah.gov/go/manuals.

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Appendix D

QC/QA Plan Requirements

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for the project. The Department has adopted new QC/QA standards and the consultant must meet or exceed these requirements. The Standard may be found on the UDOT Web site www.udot.utah.gov/go/qcqa
- Consultant will follow structures review process and coordinate with structures for all structural approvals
- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

Department Furnished Items

- UDOT Construction Manual of Instruction (available online at the UDOT Web site www.udot.utah.gov/go/manuals).
- UDOT Consultant Services Manual of Instruction (available on-line at the UDOT Web site www.udot.utah.gov/go/csmanuals).
- UDOT Environmental Process Manual of Instruction (available on-line from the UDOT web site at www.udot.utah.gov/go/manuals).
- UDOT Reference Material (available on-line from the UDOT Web site at www.udot.utah.gov/go/standardsreferences).
- UDOT Roadway Design Manual of Instruction (available on-line from the UDOT web site at www.udot.utah.gov/go/manuals).
- UDOT Standards (available on-line from the UDOT Web site at www.udot.utah.gov/go/2012standards).
- UDOT 2011 Strategic Direction & Performance Measures (available on-line from the UDOT web site at www.udot.utah.gov/go/strategicdirection).